

PATENT COOPERATION TREATY

FILE COPY

From the INTERNATIONAL SEARCHING AUTHORITY

PCT

NOTIFICATION OF TRANSMITTAL OF THE INTERNATIONAL SEARCH REPORT OR THE DECLARATION

(PCT Rule 44.1)

To:
SCOTT M. ALTER
HALE AND DORR LLP
1455 PENNSYLVANIA AVENUE, N. W.
WASHINGTON, DC 20004

Date of Mailing
(day/month/year)

Applicant's or agent's file reference
102632.123WO

FOR FURTHER ACTION See paragraphs 1 and 4 below

International application No.
PCT/US02/28179

International filing date
(day/month/year)

05 September 2002 (05.09.2002)

Applicant
TELOS CORPORATION

1. ☒ The applicant is hereby notified that the international search report has been established and is transmitted herewith.

Filing of amendments and statement under Article 19:
The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):

When? The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.

Where? Directly to the International Bureau of WIPO, 34, chemin des Colombettes
1211 Geneva 20, Switzerland. Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3. ☐ With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:
- ☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.
 - ☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. Reminders

Shortly after 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90 bis.1 and 90 bis.3, respectively, before the completion of the technical preparations for international publication.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the PCT Applicant's Guide, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the ISA/US
Commissioner for Patents
Box PCT
Washington, D.C. 20231
Facsimile No. (703)305-3230
Form PCT/ISA/220 (April 2002)

Authorized officer

John Follansbee

Telephone No. (703) 308-3900

(See notes on accompanying sheet)

PATENT COOPERATION TREATY

PCT

FILE COPY

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 102632.123WO	FOR FURTHER ACTION	see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.
International application No. PCT/US02/28179	International filing date (day/month/year) 05 September 2002 (05.09.2002)	(Earliest) Priority Date (day/month/year) 05 September 2001 (05.09.2001)
Applicant TELOS CORPORATION		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the Report

a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

b. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of the sequence listing:

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

2. ☐ Certain claims were found unsearchable (See Box I).

3. ☐ Unity of invention is lacking (See Box II).

4. With regard to the title,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

5. With regard to the abstract,

☐ the text is approved as submitted by the applicant.

☒ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the drawings to be published with the abstract is Figure No. 1

☐ as suggested by the applicant.

☐ because the applicant failed to suggest a figure.

☒ because this figure better characterizes the invention.

☐ None of the figures

Form PCT/ISA/210 (first sheet) (July 1998)

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US02/2817

FILE COPY

Box I Observations where certain claims were found unsearchable (Continuation of Item 1 of first sheet)

This international report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claim Nos.:
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☐ Claim Nos.:
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
3. ☐ Claim Nos.:
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

Box II Observations where unity of invention is lacking (Continuation of Item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

☐
☐

The additional search fees were accompanied by the applicant's protest.

No protest accompanied the payment of additional search fees.

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US02/28143

FILE COPY

Box III TEXT OF THE ABSTRACT (Continuation of Item 5 of the first sheet)

A computer-assisted system, method and medium for enabling a user to select at least one of a plurality of predetermined process steps to create a tailored sequence of process steps that can be used to assess the risk of and/or determine the suitability of a target system to comply with at least one predefined standard, regulation and/or requirement (Fig. 1, 100, 102, 104, 106, 108).

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US02/28179

FILE COPY

A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : G06F 9/44; G06F 9/455
US Cl. : 717/101; 717/102; 717/120; 717/124

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
U.S. : 717/101; 717/102; 717/120; 717/124

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched
WEST; ACM Portal

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
WEST; ACM Portal

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 6,256,773 B1 A(BOWMAN-AMUAH) 03 July 2001 (03.07.2001), see entire document	1-149
YP	US 6,324,647 B1 A(BOWMAN-AMUAH) 27 November 2001 (27.11.2001), see entire document	1-149
YP	US 6,370,573 B1 A(BOWMAN-AMUAH) 09 April 2002 (09.04.2002), see entire document	1-149
YP	US 6,405,364 B1 A(BOWMAN-AMUAH) 11 June 2002 (11.06.2002), see entire document	1-149
YE	US 6,473,794 B1 A(GUHEEN ET AL.) 29 October 2002 (29.10.2002), see entire document	1-149
Y	"Information Systems Security Design Methods: Implications for Information Systems Development; Richard Baskerville; School of Management, Binghamton University; ACM Computing Surveys, Vol. 25, No. 4, December 1993, pps. 375-414	

☐ Further documents are listed in the continuation of Box C. ☐ See patent family annex.

Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier application or patent published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

"T"

later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X"

document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y"

document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

"Z"

document member of the same patent family

Date of the actual completion of the international search

23 January 2003 (23.01.2003)

Name and mailing address of the ISA/US
Commissioner of Patents and Trademarks
Box PCT
Washington, D.C. 20231
Facsimile No. (703)305-3230

Date of mailing of the international search report

Authorized officer

John Follansbee

Telephone No. (703) 308-3900

Form PCT/ISA/210 (second sheet) (July 1998)

PCT/US02/281

FILE COPY

INTERNATIONAL SEARCH REPORT

C. (Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.

INTERNATIONAL SEARCH REPORT

PCT/US02/28179

FILE COPY

Form PCT/ISA/210 (second sheet) (July 1998)

PATENT COOPERATION TREATY

APR 15 2003
HALE & DORR, LLP

From the
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

To:
SCOTT M. ALTER
HALE & DORR, LLP
1455 PENNSYLVANIA AVE., NW
WASHINGTON, DC 20004

PCT

NOTIFICATION OF TRANSMITTAL OF INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Rule 71.1)

Date of Mailing
(day/month/year)

11 APR 2003

Applicant's or agent's file reference

102632.121WO

IMPORTANT NOTIFICATION

International application No.

International filing date (day/month/year)

Priority date (day/month/year)

PCT/US00/09842

01 April 2002 (01.04.2002)

02 April 2001 (02.04.2001)

Applicant

TELOS CORPORATION

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.
4. **REMINDER**

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices)(Article 39(1))(see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/US
Commissioner of Patents and Trademarks
Box PCT
Washington, D.C. 20231

Facsimile No. (703)305-3230

Form PCT/IPEA/416 (July 1992)

Authorized officer

Marc Hoff

Telephone No. (703) 308 1782

Deborah P. Vega
Deborah P. Vega

Paralegal Specialist
Technology Center 2800
(703) 308-3078

007

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 102632.121WO	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US00/09842	International filing date (day/month/year) 01 April 2002 (01.04.2002)	Priority date (day/month/year) 02 April 2001 (02.04.2001)
International Patent Classification (IPC) or national classification and IPC IPC(7): G06F 3/00 and US Cl.: 702/119		
Applicant TELOS CORPORATION		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>3</u> sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of <u>0</u> sheets.</p> <p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the report</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of report with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>		
Date of submission of the demand 01 November 2002 (01.11.2002)	Date of completion of this report 07 January 2003 (07.01.2003)	
Name and mailing address of the IPEA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231 Facsimile No. (703)305-3230	Authorized officer Marc Hoff Telephone No. (703) 308 1782	

Form PCT/IPEA/409 (cover sheet)(July 1998)


Deborah P. Vega
Paralegal Specialist
Technology Center 2800
(703) 308-3078

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.
PCT/US00/09842**V. Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. STATEMENT**

Novelty (N)	Claims <u>1-86</u>	YES
	Claims <u>NONE</u>	NO
Inventive Step (IS)	Claims <u>1-86</u>	YES
	Claims <u>NONE</u>	NO
Industrial Applicability (IA)	Claims <u>1-86</u>	YES
	Claims <u>NONE</u>	NO

2. CITATIONS AND EXPLANATIONS

Claims 1-86 meet the criteria set out in PCT Article 33(2)-(4), because the prior art, particularly Ginter et al. (U.S. Patent No. 5,892,900), Kopdosky et al. (U.S. Patent No. 6,219,628), Steinmetz et al. (U.S. Patent No. 6,219,626) and Testa et al. (U.S. Patent No. 6,205,407) fail to teach or suggest a computer-assisted method (or a computing system or a computer program medium) of generating at least one test procedure for a target system having at least one device capable of being identified, each of the at least one device having hardware and/or software, method (system or computer program medium) comprising the steps of: for each of at least one platform category, determining which of one or more test procedures will be used to test hardware and/or software associated with at least one platform category based on a mapping between the test procedures and the at least one predefined standard, regulation and/or requirement; and generating one or more test procedures as determined in step before for each platform category.

Claims 1-86 have industrial applicability as defined by PCT Article 33(4), since computer-assisted method, or a computing system, or a computer program medium of generating at least one test procedure for a target system is a good tool for performing security risk assessment.